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Summary of doctoral dissertation “the issue of counterintelligence effectiveness”

The dissertation is devoted to the issue of counterintelligence effectiveness and identification of factors that influence this. The choice of subject and scope is caused by lack of similar research. The author’s ambition is acquiring an answer regarding the factors that define the effectiveness of intelligence services. Moreover, the author’s idea is to lead through the dissertation, from theoretical reflections thought out the analysis of contemporary models of as well as threats and counterintelligence operations, the main argument that focuses on the effectiveness of counterintelligence. The research was conducted by the use of various methods and techniques. The main research perspective was neoinstitutionalism, but a systemic method, historical, triangulation, comparison, behavioral and cases studies were also used. The thesis was the statement that tasks and functions of counterintelligence, in order to be effective, must be conducted with offensive operational attitude and intellectual approach that mixes intelligence and counterintelligence approach.

The dissertation has 307 pages; 444 bibliographical positions were used in 811 footnotes. It consists of the introduction, five chapters and ending that is a summary and answer for proposed questions.

The first chapter is devoted to the theoretical characterization of the issue at hand as well as familiarize the reader with necessary terminology. The definitions of most importance are underlined, especially different paradigms of institutional and functional approaches. The author focuses also on the key division for the dissertation, that is offensive and defensive counterintelligence with the emphasis on practical and theoretical consequences for both. The

differences between counterintelligence and counterespionage are explained along with most common mistakes in this area. Last two subsections are dedicated to the reflection regarding the true substance of counterintelligence which is so elusive and difficult to fully grasp within formal definitions. The author separates intelligence and law enforcement in a decisive manner, at the same time pointing out the profound consequences of assigning counterintelligence to law enforcement. In reality, the paradigm and mentality of police and counterintelligence differ, this assumption is a bedrock of dissertation at hand. The first chapter is concluded by authors reflections about the “spirit” of counterintelligence, understood as a specific mindset which cases correctly conducted and understood counterintelligence to be a true pearl in a crown of intelligence. Without this, the true effectiveness is not achievable. The author believes that a proper understanding of counterintelligence is caused not merely because of definition but also internalization of counterintelligence mindset and open thinking about the strategical importance of thwarting foreign intelligence. The first chapter delivers the terminological understanding of the subject at hand, as well as the broader perspective of less perceptible elements that are of fundamental value to counterintelligence.

The second chapter is devoted to the contemporary models of counterintelligence in a state. The details characterization of counterintelligence models was done on the basis of three countries - USA, Great Britain, and Russia. This selection was dictated by the fact, that counterintelligence in said countries represent fully main dilemmas and solutions. In the first subsection is dedicated to the US model. It begins with the second half of XIX century, then the chaotic but rapid growth of US counterintelligence in World War II was described. The author focuses on foreign counterintelligence lead by FBI in the form of SIS, especially in the context of the creation of CIA. Also, the typical American dilemma between internal security and counterintelligence was discussed along with the effort to change perspective according to then-existing threats. The issue of coordination was also discussed in the context of DNI and system of military counterintelligence. Subsection ends with analysis and reflection about James Angleton approach to counterintelligence.

The second model that is also common in democratic states was described on the basis of Great Britain. Because of a long counterintelligence tradition, the first section starts with Sir Francis Walsingham who, despite the fact that was born in 1532, is still remembered in the coat of arms of Security Service. The beginnings of modern counterintelligence were discussed on the basis of

the creation of Secret Service Bureau in 1909 which formally is a predecessor for both counterintelligence and intelligence. This undervalued system barely survived the interwar period. On the eve of World War II outbreak British counterintelligence is weak and scattered, not in a possession of so much needed tools, without proper evaluation of threats. Nonetheless, within few years British intelligence services are going through a rapid evolution with turns them in the organism that is capable of most complicated deception operations that without a shadow of a doubt, had influenced war effort. Said deception operations had a profound influence on the nature of British counterintelligence. Moreover, the author conducted the detailed analysis of coordination and law regarding British intelligence system. Lastly, on the basis of a controversial yet ruthless example of Sir Roger Hollis, the main mechanism that caused many troubles of British intelligence was shown - namely human penetration. This, as well as so-called the Cambridge Five are stellar examples of why counterintelligence is crucial.

During the analysis of the non-democratic model, the author focused on the unique example of the Soviet Union. This model, called “counterintelligence state”, is exceptional and the fact that in the world there hasn’t been any organization like KGB or FSB is quite telling. This is closely connected to the civilizational issues, so the analysis of security system and power is precluded by characterization of domination by the Golden Horde and application of oriental despotism with differs Russia from Western autocracies. From Oprichnina up to the creation of Ochrana, the repression system had a unique character even if slightly different during the last Czars. On the basis of actions by Georgy Sudeykin, the author described the specific mindset of provocations, deception and operational games. The evolution of Soviet intelligence apparatus was shown, from Czeka up to the KGB, as well as the consequences of the fact the counterintelligence mindset became the mindset of state, as well as the school of thought for internal and external politics. At the end of this subsection author focused on the operational philosophy of as well as a doctrinal pattern for Russian intelligence, that is the TRUST deception.

On the basis of above-described chapters, the author made the summary of factors that influence the intelligence services. This subsection has a substantial meaning for the proper understanding of differences between intelligence institutions, as well as the effectiveness of used methods. According to the author, despite well-known myths, intelligence services differ from one another in a major way, since are formed by own history, ethics, institutions and law, civilization and culture as well as a social factor.

The third chapter is devoted to the issue of challenges that counterintelligence is facing, as well as the ways how to thwart them. The author starts with the characterization of threats. It aims to familiarize the reader with a broader context of counterintelligence activity. Along these lines, the characterization of main methods of collecting intelligence was made, including human intelligence, technical as well as open-sources. In terms of HUMINT, the aspect of working with agentura was explained as well as motivations and so-called illegals. In the TECHINT section, the detailed characterization of each of method was presented along with examples of important exploitation, especially in the context of intentions and capabilities. The advantages and downfalls of open sources collections were presented. A substantial part was devoted to the issue of active measures, influence operations, as well as deception, understood as a psychological phenomenon. In the author's opinion, this is a crucial element that allows controlling the activity of enemy. This subsection ends with the reflections on the interconnection of emerging technologies and counterintelligence. The second part of the third chapter is devoted to the answers that counterintelligence employs. The main missions of counterintelligence (offensive, defensive, information), tasks (identification, assessment, and analysis, neutralization and/or exploitation) as well as functions (operational, collection, analytical, support and, sometimes investigative) were described and analyzed. Moreover, the place and role of counterintelligence in the broader context of state's endeavors were presented. At the end detailed analysis of tools of counterintelligence, as well as sources and methods, was performed.

After systemic, legal, theoretical analysis, the author focused on qualitative and quantitative approach in the fourth chapter. In the introduction, the author put emphasis on the problems of measuring the effectiveness of counterintelligence, as well as the discusses methodology of the study. During the study, the author using qualitative and quantitative methods studied 296 cases of agents. From this group author further selected 24 cases that represent the most damaging and dangerous. The result of this research constitutes another subsection that further proves the relations between offensive counterintelligence and effectiveness.

The last chapter provides with the answer to the posed question. In this fragment, the author identifies factors that influence the counterintelligence effectiveness. This is respectively, strategic perspective, offensive approach, coordination within the broader security system, operating in a long-term perspective and capabilities for foreign operations abroad.

Therefore, during the study at hand, the author proves the thesis introduced at the beginning, as well as identifies the factors that influence the effectiveness of counterintelligence.